



## DEPARTMENT OF THE NAVY

NAVAL AIR SYSTEMS COMMAND  
NAVAL AIR SYSTEMS COMMAND HEADQUARTERS  
WASHINGTON, DC 20381 -0001

IN REPLY REFER TO

NAVAIRINST 5400.11D  
AIR-710  
26 Jan 93

### NAVAIR INSTRUCTION 5400.11D

From: Commander, Naval Air Systems Command  
To: Deputy Commander for Acquisition and Operations, Assistant Commanders, Comptroller, Command Special Assistants, Designated Program Managers, Directorate Director and Office and Division Directors

Subj: NAVAL AIR SYSTEMS COMMAND HEADQUARTERS ORGANIZATION GUIDANCE

Ref: (a) NAVAIRINST 5400.1B

Encl: (1) Prescribed Organizational Echelons and Titles  
(2) Prescribed Codes and Coding Expansion System  
(3) Organizational Guidance  
(4) Sample Chart  
(5) Sample Functional Statement

1. Purpose. To provide standards, procedures, and guidance for the organization/reorganization of the Naval Air Systems Command Headquarters (NAVAIRHQ) components and for preparation of proposed revisions to reference (a).

2. Cancellation. This instruction supersedes NAVAIR instruction 5400.11C of 29 March 1984. Since this is a major revision, changes have not been indicated.

3. Discussion. This instruction sets forth the organizational standards and procedures for use in NAVAIRHQ. Approved revisions will be incorporated in reference (a) by the Resources and Support Operations Division (AIR-710).

#### 4. Organizational Changes

a. The following changes to reference (a) require command-level approval:

(1) Establishment or disestablishment of branches, divisions, offices, groups, and directorates.

(2) Merger, transfer, addition, or deletion of functions of branches, divisions, offices, groups, and directorates.

(3) Changes from section to branch.

(4) Changes in titles of branches, divisions, offices, groups, and directorates.

b. Authority to approve organizational changes, other than those stipulated in paragraph 4a above, such as establishment, disestablishment, or changes to sections, is delegated to the group level (internal echelon 2) for their respective organizations. This authority may be further delegated to third echelon managers (Division Directors), if desired.

c. Enclosures (1), (2), and (3) will be used as guidelines in developing proposals for revising organizational titles, codes, and functional statements. Enclosures (4) and (5) provide samples.

#### 5. Procedures for Proposing Changes to the NAVAIRHQ Organizational Manual

a. Content. Proposed organization change requests shall contain a detailed description of the revision, the rationale for the change, and the efficiencies or benefits to be gained by implementing the organization change. If functions are to be moved from one organizational element to another, the request should explain the effect on both the losing and gaining organizational elements. Revised functional statements and organizational charts should be annotated in the outside margin opposite the change to indicate where changes have been made using "A," "D," or "R," to indicate an addition, deletion, or revision. The following documents shall be submitted as enclosures to the proposed organizational change.

(1) Proposed organization chart.

(2) Proposed functional statement.

(3) A proposed staffing plan which reflects the number and kind of positions in each element.

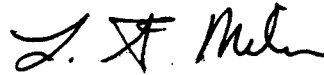
b. Submission. In order to streamline the approval process, the proposed functional statement and organization chart must be submitted on disk accompanied by a hard copy or local area network where available. The diskette may be either a 3 1/2" or 5 1/4" size. The preferred formats for word processing are Word Perfect or Microsoft Word. The organization charts may be prepared on Powerpoint or Harvard Graphics. Please indicate what type of automatic data processing hardware and software were utilized in your documentation. Proposed organizational change requests will be forwarded to AIR-710 via the chain of command. When a proposed change may have an impact on the functions of another NAVAIRHQ organization, it shall be sent via that group for comment/concurrence prior to submission to AIR-710.

c. Approval. The organizational proposal will be reviewed within AIR-710 for conformance to accepted organizational principles and standards and forwarded for approval as follows:

(1) Proposals concurred in by AIR-710 will be recommended for approval by the Assistant Commander for Corporate Operations (AIR-07).

(2) Proposals containing significant deviations from prescribed principles and standards must be resolved. Recommendations for resolution of such deviations will be made by AIR-710 representatives and discussed with the initiating office. In the event resolution is not obtained, the unresolved issues will be referred to AIR-07 for decision.

d. Notification. The requesting office will be notified through the chain of command by memorandum when the requested change is approved. The memorandum will enclose preprint pages showing the revised pages of reference (a). Proposed changes in organization will not be implemented and personnel actions will not be processed by the Human Resources Office-Crystal City until the formal approval memorandum has been signed.



L. F. Allen

Assistant Commander for Corporate Operations

Copy to: (2 copies each unless otherwise indicated)  
SNDL: C21 (1 copy); FKA1A (AIR-07D A/L (1 copy), AIR-71044 (10 copies), AIR-71043 (40 copies), AIR-7101 (5 copies), HRO-CC)

Stocked: NAVAIRHQ (AIR-71043)

PRESCRIBED INTERNAL ORGANIZATIONAL ECHELONS AND TITLES

1. Echelons and Titles. The following internal organizational echelons and titles are prescribed. Additional internal echelons may not be established without the prior approval of the Assistant Commander for Corporate Operations (AIR-07). Additional organizational titles may not be established except to accommodate program management (see enclosure (2)), or traditional titles, such as Inspector General, Comptroller, Counsel, etc.

<u>Echelon</u>	<u>Element</u>	<u>Title of Head</u>	<u>Title of Supervisory Assistant</u>
1	Command	Commander	Vice Commander Deputy Commander
2	Group, Office, or Directorate	Assistant Commander for ..., Deputy Commander for ..., or Director	Various
3	Division	Director	Assistant Director
4	Branch	Head	
5	Section	Head	
6	Unit	Head	
-	Staff or Office	As appropriate	
-	Program Management Office	Program Manager	Deputy

a. The title "Office" is prescribed for staff organizational elements reporting to either the first or second echelons.

b. When justified by an exceptionally large number of divisions or unusual complexity of responsibilities at the third echelon, approval may be granted to establish additional supervisory assistants at the second echelon (e.g., Assistant Executive Director, Technical Director).

c. Full-time assistant branch heads are not authorized unless justified to and approved by AIR-07.

d. Full-time assistant section and unit heads are not authorized. Part-time supervisory duties, if required, may be assigned as additional duty.

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e. Supervisory Assistants. Codes for supervisory assistants are formed by adding the letter "A" to the code of the organizational head. (Example: AIR-07A, AIR-714A). If additional assistant supervisory positions have been authorized, codes will normally be formed by adding the next sequential letter suffixes. (Example: AIR-07B, AIR-07C).

f. Special Assistants. Codes for special assistants will be formed by adding a letter suffix to the code of the parent office. (Example: AIR-711H). If the parent code already ends in a letter suffix, a numerical suffix should be used. (Example: AIR-711H1).

g. Command Designated Program Management Organizations. Designated program management offices in NAVAIRHQ will be assigned program manager, AIR codes from 200-299. These may be expanded by alphabetical or numeric suffixes. (Examples: PMA231A5, PMA276C2).

h. Individual Person/Position. Codes must be established for each person/position. These codes will be developed by using a letter suffix after a numeric and numeric suffix after a letter sequencing pattern. (Examples: AIR-2113H2, AIR-55221B1).

2. Approval of Codes. Authority to assign codes in accordance with this coding system is delegated to Group Heads and command staff assistants.

3. Exceptions. Requests for exceptions to this coding system will be kept to a minimum, and must be thoroughly justified. Justification for non-standard codes will be submitted to AIR-710 for review and recommendation to AIR-07.

PRESCRIBED CODES AND CODING EXPANSION SYSTEM

1. The following coding system is prescribed:

a. First Echelon (Command)

Commander	AIR-00
Vice Commander	AIR-09
Deputy Commander	AIR-03

b. Second Echelon (Group or Office). Second echelon organizations are identified by two-digit numeric codes. The following codes are prescribed for internal second echelon organizations:

<u>Code</u>	<u>Title</u>
AIR-01	Deputy Commander for Acquisition and Operations
AIR-02	Assistant Commander for Contracts
AIR-04	Assistant Commander for Logistics and Fleet Support
AIR-05	Assistant Commander for Systems and Engineering
AIR-07	Assistant Commander for Corporate Operations
AIR-08	Comptroller
PMA	Program Management Office, AIR
Various	As appropriate

c. Third Echelon. Division codes are formulated by dropping the "0" from the second echelon code and then adding two additional digits. (Example: AIR-211, AIR-803).

d. Fourth, Fifth, and Sixth Echelons. Codes for branches, sections, and units will be formed by adding one additional digit to the division code for each echelon. Codes of branches will consist of four digits, section codes of five digits, and unit codes of six digits.

## ORGANIZATION GUIDANCE

1. Policy. An organization with a minimum of supervisory layers is most desirable. This type of organization tends to reduce supervisory personnel requirements, simplify communications, and encourage initiative and executive development at lower levels. The minimum span of control for supervisors at all echelons should be three, and may be much larger in many instances. To achieve broad spans of control, separate organizational elements at the lowest working level should contain at least four substantive personnel, including the supervisor. Task assignments, subfunctions, and specialties performed by teams within these elements shall be identified by billet or position title, rather than by formal organizational subdivision. Staffs and special assistants may be employed to provide special advice service, or controls for line elements; however, the number of such staffs and special assistants should be kept to a minimum.

2. General. This guide sets forth standards for the development of organization charts and functional statements for reference (a). Unless a change is necessary to comply with a directive from higher authority, the proposed organizational change must clearly indicate the improvements in operation and efficiency which will result from the change.

3. Proposed Organization Charts. Proposed organization charts shall show the relationship of the organizational elements to each other. Components at each level of the organization depicted on an organization chart will have a corresponding functional statement. Enclosure (4) provides a sample.

a. Organizational Criteria. A separate organizational element will be established only if it meets the following criteria:

(1) Functions to be assigned to the proposed organizational element are clearly distinct from those assigned to other elements. The number of organizational elements shall be held to a minimum consistent with the needs of the Command.

(2) Minimum size of an element is four substantive personnel, including the supervisor. The maximum number of personnel assigned to a supervisor depends primarily on the complexity and diversity of the work.

b. Titles and Codes. Proposed organization charts shall include organizational titles and codes in accordance with enclosures (1) and (2). Chart, text titles, and codes must agree.

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4. Proposed Functional Statements. A sample format is provided as enclosure (5). Functional statements should accurately describe the work or responsibilities assigned to the organizational component. The statement should be brief, concise and limited to general responsibilities. The content must not duplicate or conflict with statements assigned to other organizations.

a. Content of Lowest Level Statements. Statements of functions at the lowest echelon described shall be limited to the primary functions performed. In general, functions which occupy less than 10 percent of the time of an organizational element should not be listed separately, but should be combined with other functions by using broader definitions. The functional statement should provide a description of the responsibilities of an organizational element, not a detailed listing of the duties assigned to individuals in the organization. Special or one time duties should not be included in a functional statement.

b. Higher Level Statements. The functional statement of a higher internal echelon should express the functions in broad terms which encompass the more specific functional statements of the subordinate elements.

c. Authority. Approved functional statements assign responsibility to perform those functions to that organizational element including corresponding authority and accountability.



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# SAMPLE FORMAT FOR ORGANIZATION CHART

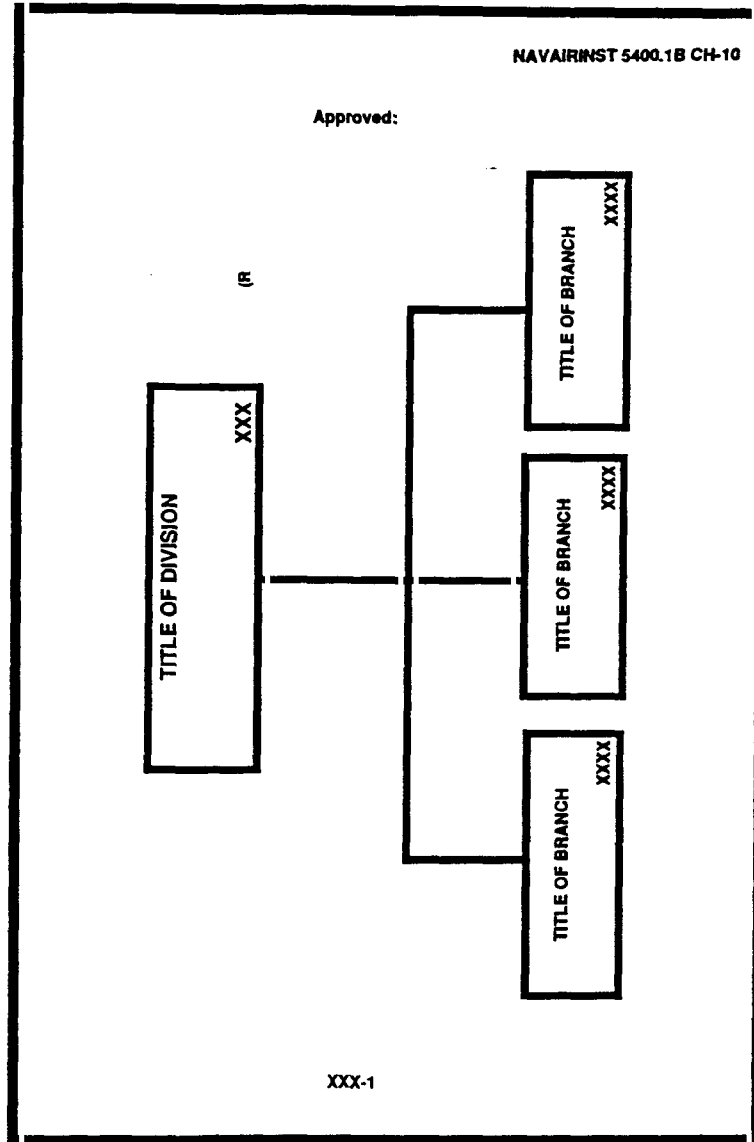
ELEMENTS ARRANGED IN  
ECHELON LEVELS.

ORGANIZATIONAL ENTITY  
TITLE AND CODE IN  
BLOCK. USE ONLY THE  
NUMERIC DESIGNATION  
FOR THE ORGANIZATION.  
THE CODE SHOULD NOT  
BE PRECEDED BY AIR.

A BRANCH/SECTION  
ORGANIZATION CHART IS  
REQUIRED WHEN  
APPROPRIATE.

ANNOTATE WITH  
INSTRUCTION NUMBER,  
"Approved" AND THE PAGE  
NUMBER. CHARTS ARE  
NUMBERED WITH  
ORGANIZATIONAL ENTITY  
CODE AND A 1. (EXAMPLE  
XXX-1).

ANNOTATE TO REFLECT  
ADDITION, DELETION OR  
REVISION WITH "(A, (D OR  
(R."



# SAMPLE FORMAT FOR FUNCTIONAL STATEMENT

NAVAIRINST 5400.1B CH-10

Approved:

TITLE OF DIVISION (AIR-XXX)

Sec. 1. XXXX Division (AIR-XXX). Functional statements should be brief, concise and limited to general responsibilities. The functional statements should be worded so that they are easily understood by all readers. Functions which occupy less than 10 percent of the time of an organizational element should not be listed separately, but should be combined with other functions using a broad definition. Special or one time duties should not be included. Use action verbs in describing responsibilities consistent with the language and style of the NAVAIRHQ Organization Manual.

Sec. 2. XXX Branch (AIR-XXXX). Is responsible for: (R

a.

b.

c.

Sec. 3. XXX Branch (AIR-XXXX). Is responsible for:

a.

b.

c.

XXX-3

TYPE OFFICE TITLE IN ALL CAPITAL LETTERS WITH THE CODE IN PARENTHESES.

FOR THE TEXT, TYPE THE OFFICE TITLE WITH INITIAL CAPITAL LETTER, CODE IN PARENTHESES AND BOTH TITLE AND CODE UNDERLINED.

PAGE NUMBERING: TEXT IS NUMBERED WITH ORGANIZATIONAL ENTITY CODE FOLLOWED BY PAGE NUMBER. (CHART IS PAGE 1, PAGE 2 IS BLANK, BEGIN TEXT WITH PAGE 3).

BEGIN TYPING INSTRUCTION NUMBER ON 4TH LINE FROM THE TOP. FOR EVEN NUMBERED PAGES, BEGIN TYPING HEADER AT LEFT MARGIN AND FOR ODD NUMBERED PAGES THE INSTRUCTION NUMBER IS PLACED FLUSH WITH THE RIGHT MARGIN AS SHOWN.

CENTER "Approved:" 3 LINES BELOW INSTRUCTION NUMBER.

INDICATE CHANGES WITH THE APPROPRIATE SYMBOL IN THE OUTSIDE MARGIN OPPOSITE THE CHANGE: "A" FOR ADDITION, "D" FOR DELETION, "R" FOR REVISION.